

PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

03/06/2002 EFLORES 00000036 10082976

01 FC:101

740.00 0P

PTO-1556  
(5/87)

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	A34224
First Inventor	Edgar S. Thaxton
Title	AXIALLY * see attached
Express Mail Label No.	EU206385905US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 22]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
4.  Claim(s) [Total Sheets 2]
5.  Abstract of the Disclosure [Total Sheets 1]
6.  Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
7.  Oath or Declaration [Total Pages 29]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
  - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
8.  Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

9.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
10.  Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies);
    - ii.  paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

11.  Assignment Papers (cover sheet & document(s))
12.  37 CFR 3.73(b) Statement  Power of Attorney (when there is an assignee)
13.  English Translation Document (if applicable)
14.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
15.  Preliminary Amendment
16.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
17.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
18.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
19.  Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	21003 (Insert Customer No. or Attach bar code label here)		or <input type="checkbox"/> Correspondence address below
Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	
Name (Print/Type)	Francis J. Hone		Registration No. (Attorney/Agent) 18,662
Signature			Date 2/25/02

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** **(\$)** **740**

## Complete if Known

Application Number	
Filing Date	February 4, 2002
First Named Inventor	Edgar S. Thaxton
Examiner Name	
Group Art Unit	
Attorney Docket No.	A34224

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **02-4377**  
Deposit Account Name **Baker Botts LLP**

Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

Applicant claims small entity status.  
See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee (\$)	Fee (\$)		
740	370	Utility filing fee	<b>740</b>
330	165	Design filing fee	
510	255	Plant filing fee	
740	370	Reissue filing fee	
160	80	Provisional filing fee	

**SUBTOTAL (1) (\$)** **740**

### 2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims	9	- 20 ** = 0	x 0 = 0
Independent Claims	1	- 3 ** = 0	x 0 = 0
Multiple Dependent			

Large Entity	Small Entity	Fee Description
Fee (\$)	Fee (\$)	
18	9	Claims in excess of 20
84	42	Independent claims in excess of 3
280	140	Multiple dependent claim, if not paid
84	42	** Reissue independent claims over original patent
18	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$)** **0**

*\*or number previously paid, if greater; For Reissues, see above*

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

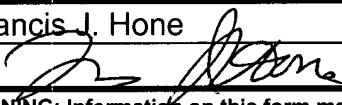
Large Entity	Small Entity	Fee Description	Fee Paid
Fee (\$)	Fee (\$)		
130	65	Surcharge - late filing fee or oath	
50	25	Surcharge - late provisional filing fee or cover sheet	
130	130	Non-English specification	
2,520	2,520	For filing a request for <i>ex parte</i> reexamination	
920*	920*	Requesting publication of SIR prior to Examiner action	
1,840*	1,840*	Requesting publication of SIR after Examiner action	
110	55	Extension for reply within first month	
400	200	Extension for reply within second month	
920	460	Extension for reply within third month	
1,440	720	Extension for reply within fourth month	
1,960	980	Extension for reply within fifth month	
320	160	Notice of Appeal	
320	160	Filing a brief in support of an appeal	
280	140	Request for oral hearing	
1,510	1,510	Petition to institute a public use proceeding	
110	55	Petition to revive - unavoidable	
1,280	640	Petition to revive - unintentional	
1,280	640	Utility issue fee (or reissue)	
460	230	Design issue fee	
620	310	Plant issue fee	
130	130	Petitions to the Commissioner	
50	50	Processing fee under 37 CFR 1.17(q)	
180	180	Submission of Information Disclosure Stmt	
40	40	Recording each patent assignment per property (times number of properties)	
740	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
740	370	For each additional invention to be examined (37 CFR § 1.129(b))	
740	370	Request for Continued Examination (RCE)	
900	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)** **0**

Complete (if applicable)

<b>SUBMITTED BY</b>			
Name (Print/Type)	Francis J. Hone	Registration No. (Attorney/Agent)	18,662
Signature		Telephone	212-408-2534
		Date	February 25, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

## Addendum Sheet 1

## \*Question 4 Addendum

4.a. Drawings are  formal  informal

## \* Question 5 Addendum

5.c.  An unsigned oath or declaration is included.

## \* Question 8 Addendum

8.d.  A sequence submission will follow.

## \* Question 9 Addendum

9.a.  Assignment documents will follow.9.b.  Assignment documents have been filed in parent application No.

## \* Question 11 Addendum

11.a.  English translation will follow.

## \* Question 12 Addendum

12.a.  Copies of IDS citations will follow.

## \* Question 15 Addendum

15.a.  Certified copies of priority documents will follow.15.b.  Certified copies of priority documents have been filed in parent application No.

Use the space below for additional information

Title (continued):

AXIALLY SEGMENTED PERMANENT MAGNET SYNCHRONOUS MACHINE WITH  
INTEGRATED MAGNETIC BEARINGS AND ACTIVE STATOR CONTROL OF THE AXIAL  
DEGREE-OF-FREEDOM